Workforce Investment Act (WIA) Title 1B

Youth Program
Guide to Participant Case File Documentation

Department of Workforce Development
Division of Workforce Solutions
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WIA Youth Program Participant Case File Documentation

The Automated System Support for Employment and Training (ASSET) system is Wisconsin's WIA Title 1, Title 3 and Trade Adjustment Assistance (TAA) reporting system. To the extent possible, case managers should use ASSET to its fullest extent as both a reporting and a case management tool. The need for locally retained documents that cannot be reproduced or easily entered in to the system will never be completely removed. However, to reduce duplicate reporting, minimize local storage requirements, facilitate staff file reviews, and validate participant data, there are a number of items that can, and should be reported in ASSET.

Note: A revised ASSET WIA Registration form that will include a statement attesting that the information on the registration form is factual and requiring the participant's signature will be available in March 2005. Where other types of verification are not available, this signed and dated WIA registration form may be used. Other written statements (such as a local application form) signed and dated by the applicant may also be acceptable.

* Data elements subject to data validation.

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Local Application Form	• Signed and dated local application form
Program Registration Registration Date*	• Signed and dated local application form • Signed and dated WIA registration form
Participant Rights and Complaints	• WDB issued statement explaining participant's rights and responsibilities in the program and processes for filing complaint and grievances. • Evidence that participant has been provided with a copy of their rights in the program and the process for filing a complaint.
Release of Info Authorization	• Statement authorizing release of a participant's personal information to other providers on a need to know basis. • Statement to be signed by participant and participant provided a copy, copy retained in case file. This need not be a stand-alone document – may be combined with other forms in use (e.g., local application form).

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Employment Status at Registration*	• Pay stub showing current employment • Pay stub showing last date of employment if not employed at registration • Case notes • Signed and dated local application form • Signed and dated WIA registration form
Education Status at Registration*	• Diploma/GED certificate • Post-secondary enrollment • Attendance record • Dropout letter • Documentation from school • Self-attestation

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Assessment	Documentation of assessments performed should be maintained in the case file and the results of assessments should be reported in ASSET. Documentation may be from an authorized 3rd party (e.g., DVR, other vocational assessments, etc.). Required assessment elements include: 1. Prior Work Experience – includes paid or unpaid work or volunteer activities (obtained by interview; participant attestation) 2. Basic Skills – includes reading and computing (formal reading and computation tests/assessments) 3. Occupational Skills – primary and secondary occupational skills (skill assessments, work and life experience, training certificates, educational records, participant attestation) 4. Interests (participant attestation, formal occupational interest assessment) 5. Interest in Nontraditional Occupations (participant attestation, work and life experience, educational records, formal occupational interest assessment) 6. Aptitudes (work and life experience, educational records, formal occupational aptitude assessment) 7. Aptitude for Nontraditional Occupations (work and life experience, educational records, formal occupational aptitude assessment) 8. Employability – level of readiness to obtain and retain employment (formal or informal assessment, participant self-identification of barriers) 9. Supportive Service Needs – supports needed to successfully participate in program activities in the Service Strategy (formal or informal assessment, participant self-identification, statement of income and expenses) 10. Developmental Needs – work and personal maturity skills (formal and informal assessments, work experience, educational records)

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Individual Service Strategy (ISS)	An Individual Service Strategy (ISS) developed for WIA or another program. The ASSET Employability Plan or a locally developed format is acceptable. However, any format used must include the following required elements: 1. Is based on the results of assessment (the ISS should include activities and services to address issues identified by the assessment). 2. Is jointly developed by the program case manager, the youth and, for younger youth, the parent/legal guardian. 3. Identifies age-appropriate career goal(s) for participant (primary and secondary goals are identified). 4. Appropriate achievement objectives (interim objectives and planned outcomes are identified including who, what, when, where and how). 5. Appropriate combination of services and a schedule of activities to achieve the goals (service strategy identifies activities, planned and actual begin and end dates, service provider; services identified in ISS are the same as those recorded and tracked in ASSET). 6. Identifies a plan for year round services. 7. Is a working tool that documents an ongoing strategy and is regularly updated (updates are to be made as required by local policy or as warranted by changes to the plan or the participant's circumstances). 8. Includes skill attainment goals *(the Manage Employability Plan function in ASSET is used to record and track skill attainment goals)*. 9. Identifies/includes non-WIA funded services that are part of the strategy to address needs and achieve goals.

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Skill Attainment Goals* Date Set* Date Attained* (Younger Youth)	Basic skills, work readiness and occupational skills goals. The case file should include the following documentation related to setting and achieving skill goals • Assessment results document the individual's need for the skill goal • Skill goals are identified (*ASSET - Comments section or case notes*) • Skill goals are objective and measurable • Skill goals and goal attainment is based on objective pre-test and post-test criteria (these should be documented in the case file through case notes or copies of tests/assessments used to determine goals and attainments) • Definitions of skill goals are standardized and consistent within the WDA • The services the youth received to assist them in attaining goals are documented (*ASSET service screens and/or case notes)*
NTO Orientation	Evidence that participant has received information or materials orienting them to non-traditional occupations (what they are and how to access). • Statement from participant that they received this orientation • Evidence of attendance at group orientation activities • Attestation by case manager that this orientation was provided (*ASSET - Manage Programs*)
Case Notes	Entries must be made at regular intervals during customer's participation. Document contacts, events, services, etc. • Case notes in ASSET
Services	**Acceptable Documentation/Verification**
Youth Program Elements*	In addition to reporting beginning and end dates of services in ASSET, participation in program activities must be documented in the case record. At a minimum, this documentation should include remarks in ASSET "Comments" fields or in case notes. Reference should be made to start and end dates, progress made, issues encountered and outcomes related to services provided. Some services, e.g., training, work experience and supportive services will require additional documentation including payment vouchers, time sheets, mileage records, receipts, worksite agreements, etc.

Program Completion/ Data Element Validation	Acceptable Documentation/Verification
Program Exit Exit Date*	• Case notes documenting exit; reason for exit. • If exited to placement, employer and employment information
Other Exit*	Specific documentation of exit reason if exit is due to death, health/medical, incarceration or military reservist called to active duty • Doctor's records • Hospital records • Contact with criminal justice system/court records • Signed and dated applicant statement • Case notes
Follow up Services*	• Copies of follow up letters, materials, etc. • Activity sheets, attendance rosters • Receipt for follow-up support services • Case notes • Comments in ASSET follow-up screens
Degree Type* (Older Youth)	• Case notes • Diploma, certificate, transcript • Survey
High School Diploma* Diploma Date* (Younger Youth)	• School records • Transcript • Diploma/GED • Notice from school

Program Completion/ Data Element Validation	Acceptable Documentation/Verification
Youth Placement Information* Youth Retention Information* (Younger Youth)	Youth entered post-secondary education, advanced training, military or apprenticeship within 1st or 3rd quarter after exit • College or university records • Contact with family • Apprenticeship verification • Case notes
Advanced Training* (Older Youth)	Youth was enrolled in advanced training or post-secondary education in first quarter after exit • Case notes • Certificate/diploma • Survey
Supplemental Data	• Survey or telephone response from participant or employer accompanied by written document such as W-2, pay stub(s), or 1099 covering the pertinent performance period(s). • For self-employed individuals: written verification from major clients Wisconsin State Tax Form PRA-012 (Premier Resort Area Tax Return) Wisconsin State Tax Form ST-12 (Sales and Use Tax Return) IRS Form 1040, Schedule C (Profit or Loss from Business) IRS Form 1099-B (Proceeds from Broker & Barter Exchange Transactions) • Other forms of verification may be acceptable; contact DWS staff when in doubt